

Form PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 026532-0103	SERIAL NO. <u>10/623,134</u> <u>Unknown</u>
INFORMATION DISCLOSURE CITATION <i>(Use several sheets if necessary)</i>		APPLICANT		Richard L. Sandor, et al	
		FILING DATE		GROUP ART UNIT	
		July 17, 2003		<u>Unknown</u> <u>3628</u>	

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
/DPV/		6,112,188	8/29/00	Hartnett			

FOREIGN PATENT DOCUMENTS

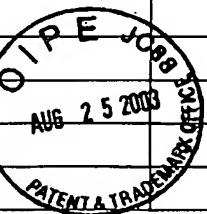
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION	
							YES	NO
/DPV/		WO 02/37433A2	5/10/02	PCT				
/DPV/		WO 02/086657A2	10/31/02	PCT				

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/DPV/		R. Sandor, "SO2 Market Exceeds Expectations," Environmental Finance, p. 11, May 2000.
↓		L. Kiesling, "CO2 Emissions Trading, The Coase Theorem, and Creating New Markets," The Reason Foundation, October 23, 2002.
		"The Chicago Climate Exchange: Trading Hot Air," The Economist edition, October 17, 2002.
↓		"Chicago Climate Exchange: Rothschild to Advise CCX on Equity Offering," The Financial Times, November 4, 2002.

EXAMINER	DATE CONSIDERED
/Daniel Vetter/	06/11/2007

- EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.

SUPPLEMENTAL FORM PTO-1449 (MODIFIED)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 026532-0103		SERIAL NO. 10/623,134 REDACTED	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				APPLICANT Richard L. Sandor			
				FILING DATE July 17, 2003		GROUP ART UNIT <u>Unknown</u> 3628	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
							
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
/DPV/		R. Sandor, Chairman and CEO, Environmental Financial Products, LLC, "Statement to the U.S. Senate Environment and Public Works Committee," March 24, 1999 Hearing on Credit for Voluntary Early Actions.					
		F.H. Murkowski, Alaska, Chairman, Committee on Energy and Natural Resources, "Climate Treaty," Hearing before Committee on Energy and Natural Resources, United States Senate, One Hundred Fifth Congress, First Session on the Impacts of a New Climate Treaty on U.S. Labor, Electricity Supply, Manufacturing and the General Economy, September 30, 1997.					
		R. Sandor, CEO, Environmental Financial Products, LLC, transcript of testimony given before the Sub/Committee on Environmental and Public Works, March 24, 1999.					
		R. Sandor, CEO, Environmental Financial Products, LLC, "Getting Started With a Pilot: The Rationale for a Limited-Scale Voluntary International Greenhouse Gas Emissions Trading Program," testimony presented to the White House Conference on Climate Change, October 6, 1997, and the U.S. Senate Energy and Natural Resources Committee, September 30, 1997.					
		R. Sandor, "Toward an International Co ₂ Entitlement Spot and Futures Market" Chapter 3.2, pp. 221-236, editors: R. F. Kosobud, et al., "Market-Based Approaches to Environmental Policy: Regulatory Innovations to the Fore."					
		United Nations Conference on Trade and Development, "Combating Global Warming: Study on global system of tradeable carbon emissions entitlements," R. L. Sandor, "Implementation Issues: Market Architecture and the Tradeable Instrument," Chapter IX, pp. 151-166.					
▼		R. Sandor, Statement to Prague meeting on Sustainable Development, January 14, 1995.					
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LIST OF REFERENCES CITED BY APPLICANT Form PTO-1449 <i>(Use several sheets if necessary)</i>		ATTY. DOCKET NO.	APPLICATION NO:
		7634-4000	10/623,134
		APPLICANT:	
		Richard L. SANDOR	
Sheet 1 of 2		FILING DATE:	GROUP:
		July 18, 2003	3628

USE PATENT DOCUMENTS

*EXAMINER INITIAL	CITE NO.	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
/DPV/	A1	4,677,552	06/1987	Sibley, Jr.	364	408	
	A2	5,532,928	07/1996	Stanczyk et al.	364	406	
	A3	5,621,654	04/1997	Cohen et al.	364	493	
	A4	5,664,112	09/1997	Sturgeon et al.	705	28	
	A5	5,726,884	03/1998	Sturgeon et al.	395	209	
	A6	5,794,212	08/1998	Mistr, Jr.	705	26	
	A7	6,067,549	05/2000	Smalley et al.	707	104	
	A8	6,115,698	09/2000	Tuck et al.	705	37	
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	A15	2003/0085179	05/2003	Kim et al.	210	739	11/2001
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↓	A19	2005/0246190	11/2005	Sandor et al.	705	1	01//2005

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
/DPV/	B1	WO 02/37776	05/2002	PCT				
/DPV/	B2	WO 02/077776	10/2002	PCT				
/DPV/	B3	WO 04/010366	01/2004	PCT				

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		APPLICANT: Richard L. SANDOR	
Sheet 2 of 2		FILING DATE: July 18, 2003	GROUP: 3629
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/DPV/	C1	Sandor, R., "Trading Gases," Our Planet Magazine, The United Nations Environment Programme Magazine for Environmentally Sustainable Development, Volume 9, Number 6, 1998.	
	C2	Sandor, R., "Corporate Giants To Aid Design of U.S. Carbon Market," Environmental Finance Magazine, June 2001.	
	C3	Solomon, B., "Emissions Trade Systems and Environmental Justice," Environment; Washington, 42:8, October 2000, pp. 32-45.	
↓	C4	"Designing Options for Implementing an Emissions Trading Regime for Greenhouse Gases in The European Community," Final Report, February 22, 2000.	
EXAMINER <i>/Daniel Vetter/</i>		DATE CONSIDERED <i>06/11/2007</i>	

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